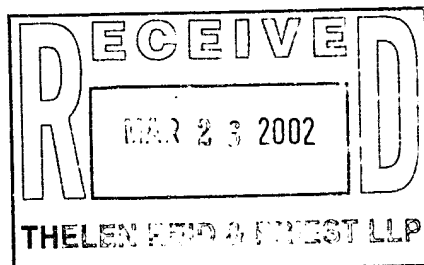


UNITED STATES PATENT AND TRADEMARK OFFICE

8173-007  
 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/040,270	10/29/2001	Eduard de Jong	SUN-P6990

David B. Ritchie  
 Thelen Reid & Priest, LLP  
 P.O. Box 640640  
 San Jose, CA 95164-0640



CONFIRMATION NO. 9584

## FORMALITIES LETTER



\*OC000000007673091\*

Date Mailed: 03/19/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/16/2002 BABRAHA1 00000028 10040270

FILED UNDER 37 CFR 1.53(b)

01 FC:101	740.00 OP
02 FC:105	130.00 OP
03 FC:102	672.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$420.
  - \$420 for 5 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1290.**

The following item(s) appear to have been **omitted** from the application:

- Page(s) **16, 52-59, 68-70, 74, 79, 82-86, 89** of the specification (description and claims).
- Figure(s) **18, 20** described in the specification.

CPI *[Signature]*  
 Excel *[Signature]*

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a

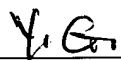
supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b)**. In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

---

*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

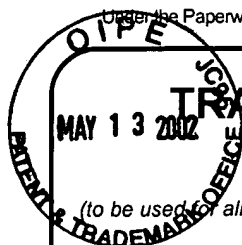
Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/21 (08-00)



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>	10/040,270		
	<b>Filing Date</b>	10/29/02	
	<b>First Named Inventor</b>	Eduard K. de Jong	
	<b>Group Art Unit</b>	Not Yet Assigned	
	<b>Examiner Name</b>	Not Yet Assigned	
<b>Total Number of Pages in This Submission</b>	162	<b>Attorney Docket Number</b>	SUN-P6990

## ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/Incomplete Application

☒ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☒ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Combined Declaration/Power of Attorney; Copy of Notice to File Missing Parts of Non-provisional App.

Remarks

RECEIVED

JUN 17 2002

OFFICE OF PETITIONS

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

David B. Ritchie  
Thelen Reid & Priest LLP

Signature

Date

MAY 6  
April 6, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 5/7/02

Typed or printed name

Lisa Dewitt

Signature

Date

MAY 7  
April 7, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)  
1542 1672

Complete if Known

Application Number	10/040,270
Filing Date	10/29/01
First Named Inventor	Eduard K. de Jong
Examiner Name	Not Yet Assigned
Group / Art Unit	Not Yet Assigned
Attorney Docket No.	SUN-P6990

RECEIVED

JUN 17 2002

OFFICE OF PETITIONS

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit  
Account  
Number  
50-1698Deposit  
Account  
Name  
Thelen Reid & Priest LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 740)

## 2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
Total Claims	11	-20 **	0	0
Independent Claims	11	-3 **	8	672
Multiple Dependent				0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 672)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

PETITION TO ACCEPT  
REPLACEMENT DOCUMENTS

130

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 250 260)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	David B. Ritchie	Registration No. Attorney/Agent)	31,562	Telephone	408-292-5800
Signature				Date	MAY 6 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Serial/Patent No.:

Applicant: de Jong et al.

Filing/Issue Date: 10/29/2001

Title: Enhanced Privacy Protection in Identification in a Data Communications Network

TRP Docket No.: SUN-P6990

Date Mailed: 10/29/2001

Atty/Secty Initials: JPS/dcl

Docket Due Date:

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- ☐ Amendment/Response (\_\_\_\_ pgs.)
- ☐ Appeal Brief (\_\_\_\_ pgs.) (in triplicate)
- ☒ Application - Utility (93 pgs. with cover & abstract)
- ☐ \_\_\_\_\_ Pieces of Prior Art Enclosed
- ☐ Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)
- ☐ Application - Rule 1.53(b) Division (\_\_\_\_ pgs.)
- ☐ Application - Rule 1.53(b) CIP (\_\_\_\_ pgs.)
- ☐ Application - Rule 1.53(d) CPA (\_\_\_\_ pgs.)
- ☐ Application - Design (\_\_\_\_ pgs.)
- ☐ Application - PCT (\_\_\_\_ pgs.)
- ☐ Application - Provisional (\_\_\_\_ pgs.)
- ☐ Assignment and Cover Sheet
- ☐ Certificate of Mailing
- ☐ Declaration & POA (\_\_\_\_ pgs.)
- ☐ Disclosure Docs & Orig & Copy of Inventor's Signed Letter (\_\_\_\_ pgs.)
- ☐ Other: \_\_\_\_\_

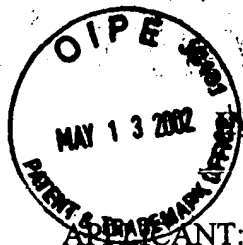
- ☒ Drawings: 5 sheets includes 62 figures
- ☒ Express Mail No. EL835923695US
- ☐ \_\_\_\_\_ Month(s) Extension of Time
- ☐ IDS & PTO 1449 (\_\_\_\_ pgs.)
- ☐ Issue Fee Transmittal
- ☐ Notice of Appeal
- ☐ Petition for Extension of Time
- ☐ Postcard
- ☐ Power of Attorney (\_\_\_\_ pgs.)
- ☐ Preliminary Amendment (\_\_\_\_ pgs.)
- ☐ Reply Brief (\_\_\_\_ pgs.)
- ☐ Response to (Notice to File Missing) (\_\_\_\_ pgs.)
- ☐ Request to Incorporate Disclosure Document (\_\_\_\_ pgs.)
- ☒ Transmittal Letter (original & copy)

JC997 U.S. PTO  
10/040270  
10/29/01

RECEIVED  
JAN 29 2002  
HELEN RED & PRIEST LLP

Patent Code:

Client/Matter # 811173 - 227



THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: EDUARD DE JONG ET AL.

COPY OF PAPERS  
ORIGINALLY FILED

SERIAL NO.: 10/040,270

FILING DATE: OCTOBER 29, 2001

TITLE: ENHANCED PRIVACY PROTECTION IN IDENTIFICATION IN A  
DATA COMMUNICATIONS NETWORK

ART UNIT: 2131

EXAMINER: NOT YET ASSIGNED

**CERTIFICATE OF MAILING**

I hereby certify that this paper is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Office of Initial Patent Examination's Customer Service Center, Commissioner for Patents, Washington, DC 20231, on the date printed below:

Date: 5/6/02

Name: Diane Morse  
Diane Morse

OFFICE OF INITIAL PATENT EXAMINATIONS  
CUSTOMER SERVICE CENTER  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**REQUEST TO CORRECT FILING RECEIPT**

It is respectfully submitted that the Filing Receipt for the above-identified patent application has an error.

The Title is incorrect; the correct title is "Enhanced Privacy Protection in Identification in a Data Communications Network" and not "Identification and Privacy in the World Wide Web" as indicated on the Filing Receipt. Please amend the Filing Receipt and other appropriate records to reflect the correct title for the referenced patent application as "Enhanced Privacy Protection in Identification in a Data Communications Network".

The **total number of drawings** is incorrect; the correct number is "55" and not "53" as indicated on the Filing Receipt. Please amend the Filing Receipt and other appropriate records to reflect the number of drawings for the referenced patent application as "55".

The **total number of claims** is incorrect; the correct number of claims is "11" and not "8" as indicated on the Filing Receipt. Please amend the Filing Receipt and other appropriate records to reflect the correct number of claims for the referenced patent application as "11".

The **number of independent claims** is incorrect; the correct number of independent claims is "11" and not "8" as indicated on the Filing Receipt. Please amend the Filing Receipt and other appropriate records to reflect the correct number of independent claims for the referenced patent application as "11".

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1698. A duplicate copy of this page is enclosed.

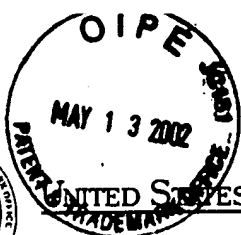
Respectfully submitted,  
THELEN REID & PRIEST LLP



David B. Ritchie  
Reg. No. 31,562

Dated: May 6 2002

THELEN REID & PRIEST LLP  
P.O. Box 640640  
San Jose, CA 95164-0640  
(408) 292-5800

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ORIGINALLY FILED

Page 1 of 2

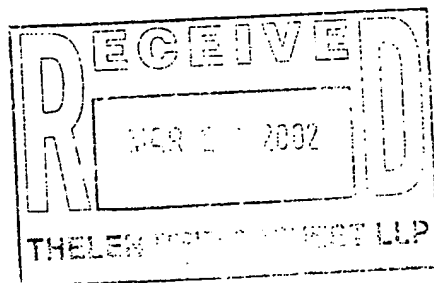
UNITED STATES PATENT AND TRADEMARK OFFICE

81173007

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/040,270	10/29/2001	2131	0.00	SUN-P6990	53	8	8

CONFIRMATION NO. 9584

David B. Ritchie  
Thelen Reid & Priest, LLP  
P.O. Box 640640  
San Jose, CA 95164-0640

FILING RECEIPT



\*OC000000007673090\*

Date Mailed: 03/19/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**Eduard de Jong, Residence Not Provided;  
Moshe Levy, Residence Not Provided;  
Albert Leung, Residence Not Provided;**Assignment For Published Patent Application**

Sun Microsystems, Inc., a Delaware Corporation;

**Domestic Priority data as claimed by applicant****Foreign Applications**

If Required, Foreign Filing License Granted 03/18/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**~~Identification and privacy in the World Wide Web~~Enhanced Privacy Protection in Identification  
in a Data Communications NetworkReviewed By: RR Date: 4/23/02  
No Action Required: /  
Action Required: /  
Title, drawings = 55  
claims = 11  
ind claims =

CPI



Preliminary Class

713

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).